IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re U.S. Patent Application Of: Kenneth Kiron and Kevin S. Bander)
Application No. 09/140,868) Group Art Unit: 2761
Filed: August 27, 1998) Examiner S. Tkacs
For: Open End Mutual Fund Securitization Process	, ,
Assistant Commissioner For Patents Washington, D.C. 20231	

ASSOCIATE POWER OF ATTORNEY (37. C.F.R. 1.34)

Please recognize as Associate Practitioner in this case:

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Chicago, Illinois 60606

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CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231 on

Kathleen Rundquist/80887.1

As a below named inventor	if by declare that.	•	
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My residence, post office ac	idres and citizenship are as stated l	below next to my name.	
	rst and sole inventor (if only one han he subject matter which is claimed a いんと アンローン こくに エーごとA		
is attached hereto unless th	e following box is checked:		
	as United States A	pplication Number or PCT Intern	ational Application
Number	and was amended o	n	(if applicable).
hereby state that I have vev	iewed and understand the contents.	of the above identified specificati	on, including the claims,
acknowledge the duty to dis	close information which is material to	patentability as defined in Title	37, Code of Federal
Regulations, § 1.56. hereby claim foreign priority tventor's certificate listed be	benefits under Title 35. United State low and have also identified below a	es Code, § 119 of any foreign app	plication(s) for patent or
aving a filing date before the	at of the application on which priority	is claimed.	DI MIVOIROI & COLUNCATO
nor Foreign Application(s)			Priority Clair
(Alexandra)	(Country)		Yes No
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DECLARATION

As a below named inventor	, I hereby declare that:
My residence, post office a	address, and citizenship are as stated below next to my name.
a atrupa	
I believe that I am the orig	inal, first, and sole inventor (if only one name is listed below) or
	inventor (if plural names are listed below) of the subject matter
which is claimed and for w	hich a patent is sought on the invention entitled OPEN end ME
Fund Securitization F	<u>'roces</u> s
The specification of which	
(check one)	
is attached hereto.	
[] was filed on	as application serial no

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Sec. 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, Sec. 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)(if any)		Priority Claimed	
			[] []
(Serial Number)	(Country)	(Day, Month	(Yes) (No)
		Year filed)	

I hereby claim the benefit under Title 35, United States Code, Sec. 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Sec. 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Sec. 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application serial (Filing date) (Status-, patented, number) pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor

Kenneth KIRON

Inventor's signature	Date 0 9 5	
Residence 309 West 57 th s	++1707 NY YM	110019
Citizenship USf		
Post Office Address		
(Supply similar information	on and signature of secon	nd and subsequent inventors.)

	`7(c))SMALL B	USINESS CONCF'N		
> Applicant or Patentee:	MOPERITING			
Serial or Patent No.:			•	
Filed & Issued:	MUTUAL SUND	SEC-RITEZATION	PROCESS	
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I hereby declare that I am the owner of the small an official of the small	business concern identified business concern empowers	below: ed to act on behalf of the conce	rn identified belo	% :
NAME OF SMALL BUSE	NESS CONCERN	MOPEL, INC.		
ADDRESS OF SMALL B	USINESS CONCERN		て、井170号	
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	Filed or Issued: Title: Open end Mital End Securitization Pr	20,00.
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	As a below named inventor, I hereby declare that I qualify as an independent inventors purposes of paying reduced fees to the Patent and Trademark Office described in:	enter as defined in 37 CFR 1.9(c) for
	the specification filed berewith with title as listed above.	•
	the application identified above.	
Management of the common of th	the patent identified above.	•
	I have not assigned, granted, conveyed or licensed and am under no obligation un convey or license, any rights in the invention to any person who would not qualify CFR 1.9(c) if that person had made the invention, or to any concern which would concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).	not qualify as a small business
	Each person, concern or organization to which I have assigned, granted, conveyed tion under contract or law to assign, grant, convey, or license any rights in the inv	i, or licensed or am under an obliga- ention is listed below:
*	No such person, concern, or organization exists.	
	Each such person, concern or organization is listed below.	·
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	Separate verified statements are required from each named person, concern or org tion averring to their status as small entities. (37 CFR 1.27)	·
	I acknowledge the duty to file, in this application or patent, notification of any chentitlement to small entity status prior to paying, or at the time of paying, the early nance fee due after the date on which status as a small entity is no longer appropriate.	sezt of the izzne tee or any manue.
	I hereby declare that all statements made herein of my own knowledge are true are tion and belief are believed to be true; and further that these statements were mad statements and the like so made are punishable by fine or imprisonment, or both, United States Code, and that such willful false statements may jeopardize the valid issuing thereon, or any patent to which this verified statement is directed. Kernett Kerr Received	under section 1001 of Title 18 of the
	1/21/12/20	ME OF INVENTOR
	Signature of inventor Signature of inventor Signature of inventor	nature of inventor
	Date Date	e e
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VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37

As a below named inventor, I hereby declare that I qualify as an independent inventor
as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under Section 41(a) and (b)
of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled $\frac{OP2N}{52620111201120112011201120112011201120112$
[] application serial no, filed
I have not assigned, granted, conveyed or licensed and am under no obligation under
contract or law to assign, grant convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.(e). Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any right in the invention is listed below:
[] no such person, concern, or organization
persons, concerns, or organizations listed below*
*Note: Separate verified statements are required from each named person, concern, or
organization having rights to the invention averring to their status as small entities. (37 CFR
1.27) FULL NAME MOREXITAGE.
ADDRESS 309 West 514 54 41707 [] Individual MSmall business
NIM NIM 100 19 [Incorposit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fees due after the date on which status as a small entity is no longer appropriate. (37 CFR 128(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon, or any patent to which this verified statement is directed.

Full name of sole or first inventor Kenneth KIRON		
Inventor's signature	10 10/95	

ASSIGNMENT

WHEREAS, WE, Kenneth Kiron and Kevin S. Bander. ASSIGNORS, citizens of the United States of America, residing at 309 West 57th Street. Suite 1707. New York, New York 10019; and 1 East Delaware Street, Apt. 9K, Chicago, Illinois 60611, respectively, are the inventors of the invention in

OPEN END MUTUAL FUND SECURITIZATION PROCESS
for which we have executed an application for a Patent of the United States
□ which is executed on □ even date herewith or □ (date)
which is identified by Pennie & Edmonds LLP docket no. 9276-003-999 which was filed on December 12, 1995, Application No. 08/542,431
and WHEREAS, MOPEX INC., ASSIGNEE, having a place of business at 309 West 57th Street, Suite 1707, New York, New York 10019, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:
NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof:
AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.
AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.
AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.
IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.
Date Survey 1997 Kenneth Kiron State of New York County of New York SS.:
On this day of TUNE, 1997, before me, a Notary Public in and for the State and County aforesaid, personally appeared Kenneth Kiron to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.
JEFFREY J. HOLLANDER Notary Public, State of New York Notary Public Notary Public

No. 41-4968166 Qualited in Queens County () Commission Expires

Date	, 1997 Kevin S. Bander	ula L.S.
State of IL) SS.:		
County of (call)		
On this! day of County aforesaid, personally appear	red / Kevin S. Bander	
to me known and known to me to be acknowledged the same to be his free	be the person of that name, who signed and sealed the foree act and deed.	oregoing instrument, and he
	Many A Jordan	
		Notary Public.

OFFICIAL SEAL

MARY J JORDAN

NOTARY PUBLIC, STATE OF ILLINOIS

MY COMMISSION EXPIRES:01/16:00